

FIG. 1

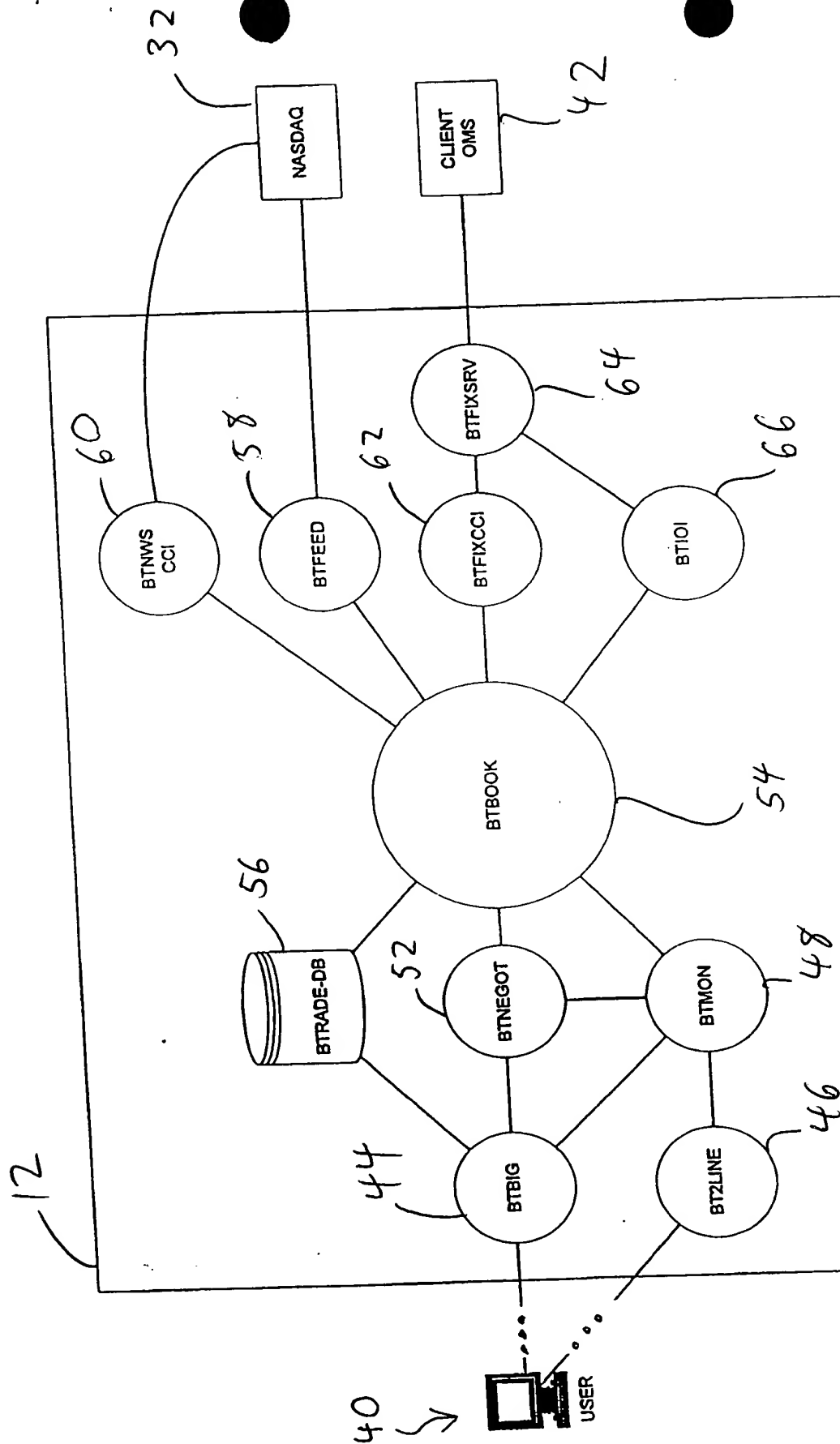


FIG. 2

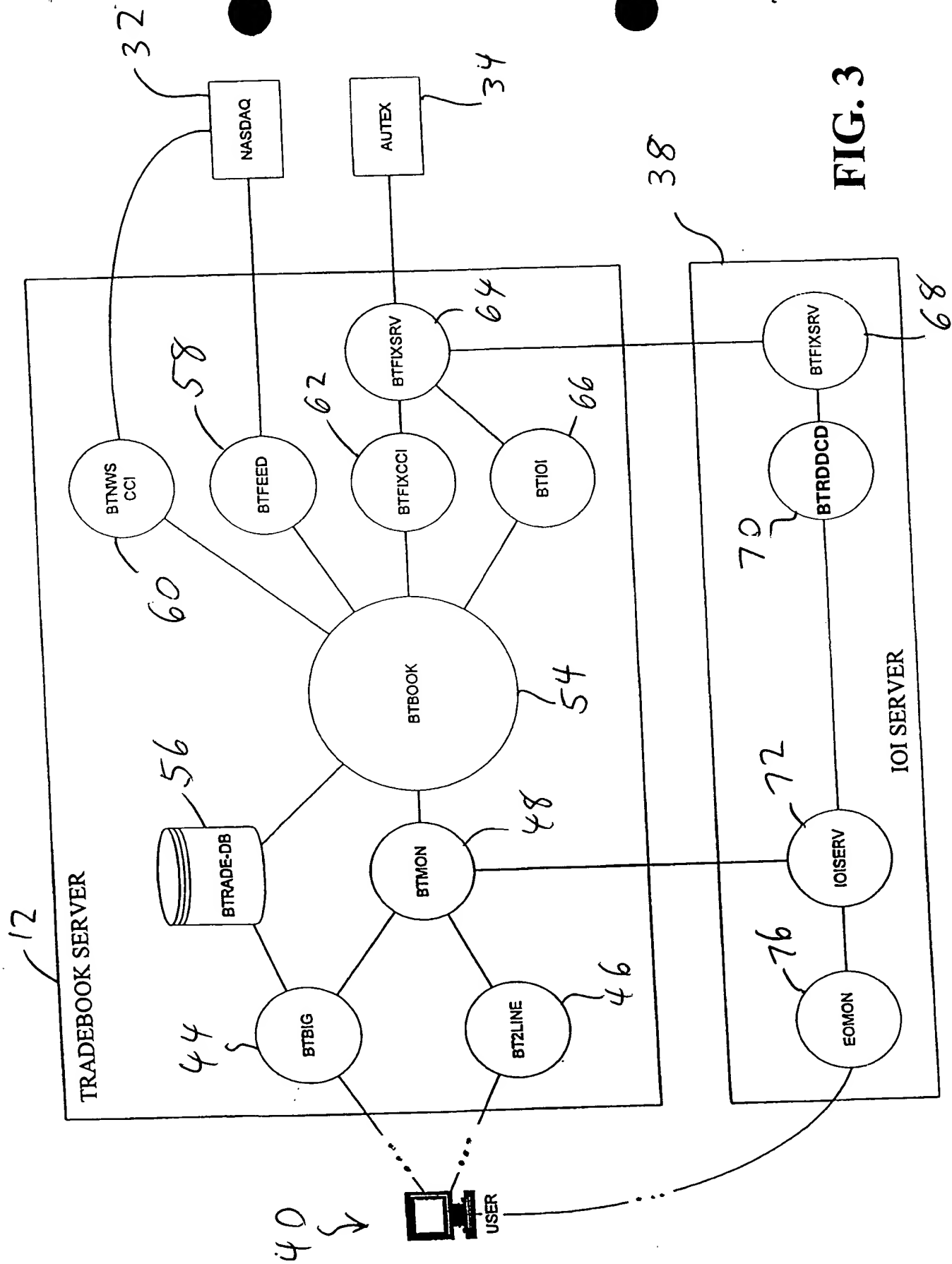
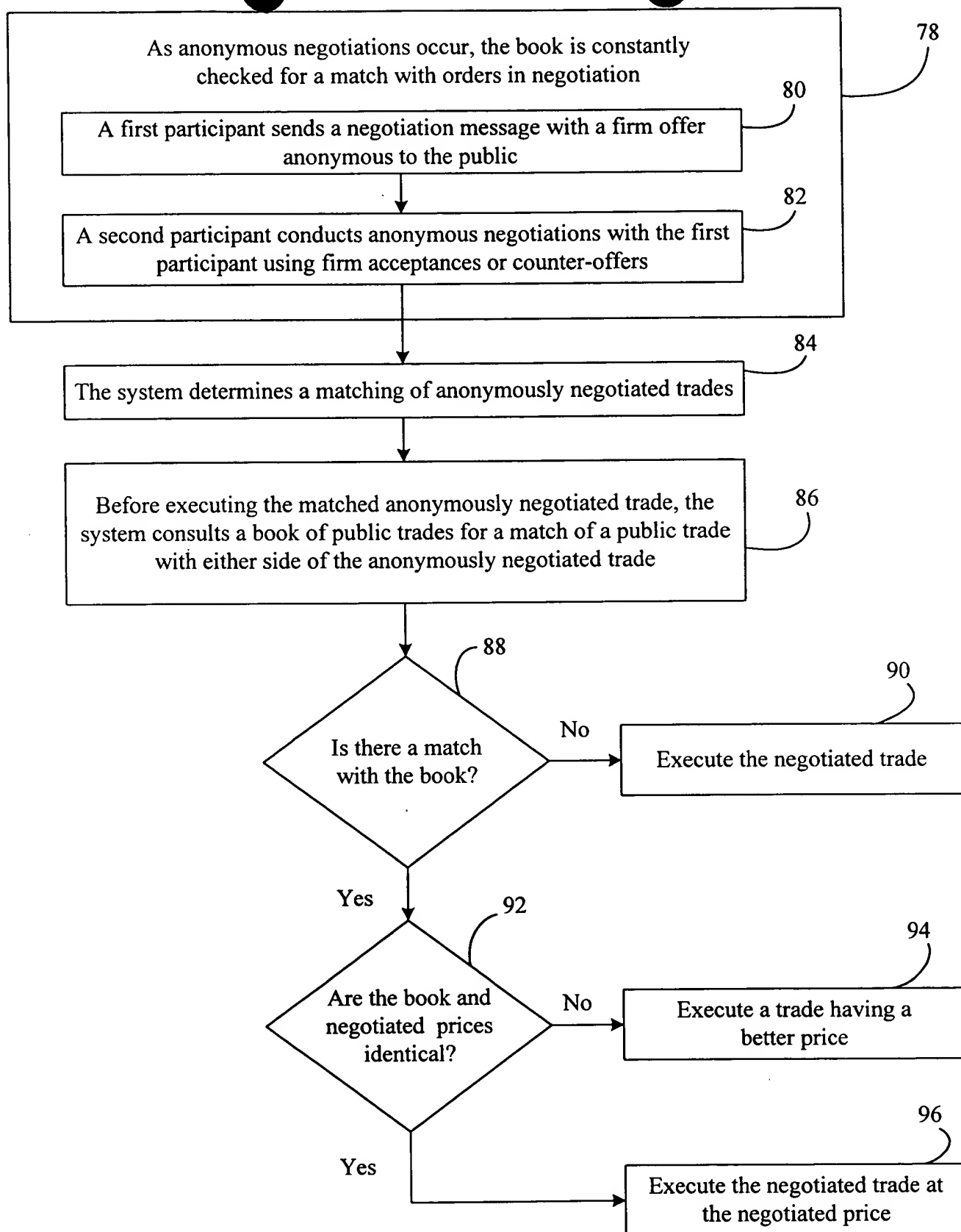
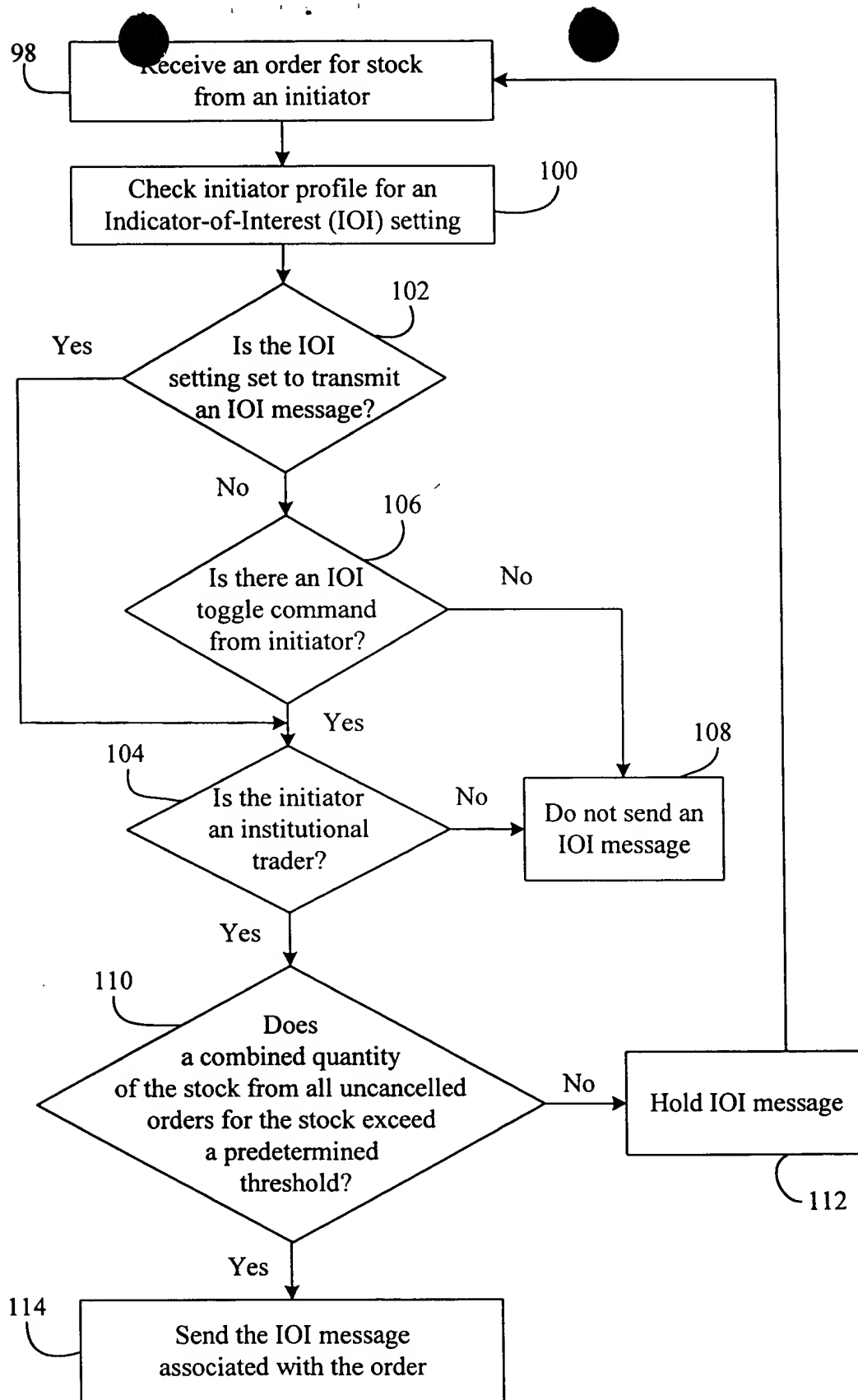


FIG. 3



**FIG. 4**



**FIG. 5**

50



<BUY> INTC 10000 62 <GO>

**INTC** US \$ 1 **62 1/2** +3/8 0 95 0 152 5/62 1/2 0 8x13 **Equity BTMQ**  
 Ht 15:26 Vol 10,000,000 Op 62 1/2 0 Ht 63 0 Lo 60 5/8 0 Valued 622.237m

**TRADEBOOK QUOTE MONITOR**

INTC	INTEL CORP	Mmkr	Size	BID	ASK	Size	Mmkr	15:26 Cumulative
8	SBSH	8	62 5/8	62 1/2	13	INCA	13	13
16	> BTRD	8	62 1/2	62 1/2	1	BEST	1	14
26	SHUD	10	62 1/2	62 3/4	2	REDI	2	16
96	> BTRD	70	62 1/2	62 7/8	10	SHUD	10	26
116	INCA	20	62 1/2	62 7/8	10	MONT	10	36
126	MLCO	10	62 1/2	62 7/8	4	NFSC	4	40
136	MONT	10	62 1/2	62 7/8	2	MASH	2	42
146	GSCO	10	62 1/2	62 7/8	1	SLKC	1	43
156	CIBC	10	62 1/2	62 1/2	45	ISLD	45	88
166	MSCO	10	62 1/2	63	83	MOSE	83	171
171	ISLD	5	62 1/2	63	41	MLCO	41	212
172	SLKC	1	62 1/2	63	24	BRUT	24	236

QR INTC 1562 5/8 3562 5/8 9562 5/8 1562 1/2 2562 5/8 10562 5/8  
 BTR 15:10-5562 1/2 15:11-10562 5/8 15:11-6562 1/2 15:23-7562 1/2  
 TRD 195,000 INTC US 62 23/32 BTRD US 15:19 BTRD USD  
 ICH BN 15:02 U.S. April Consumer Prices Seen Rising 0.4%: Bloomberg Survey  
 My Orders

FIG. 6

116

118

**08:46**

NEGOTIATE TO SELL

3

75<sup>5</sup><sub>8</sub>

↑

$$75^3_{16}$$

40

INCA

10

75<sup>1</sup><sub>2</sub>

75<sup>3</sup><sub>8</sub>

12

SBSH DLJP FBCO GFIN

NITE SWCO

NEGOTIATE TO BUY

**AQR VWAP:**

**TSM Bid:**

Ask :

RV 5-Day Avg Vol:

Total

Wtd Avg

Best Bids TRADEBOOK Best Offers

Wtd Avg

Total

## Tradebook

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FIG. 7

DG21 b Equity B T N A

INTC US \$ Market Q17 5 5 / 7 5 3 1 Q 3x10 Vol 28,200 Prev 75<sup>3</sup><sub>16</sub>

<TAB> to select counterparties. 99 <GO> to view buy activity.

NEGOTIATE TO BUY

INTC - INTEL CORP

Total shares I bought today 0  
Quantity displayed to others 0

Trading activity All counterparties

Counterparty sell activities

9/29 600@ 75.7969	9/10 1000@ 88.0625	8/12 2000@ 75.9375
9/29 2800@ 77.0000	9/10 1000@ 88.0625	8/ 9 18000@ 73.3750
9/28 700@ 78.0000	9/ 8 5000@ 89.0000	8/ 6 50000@ 72.0000
9/21 100@ 82.1094	9/ 1 64900@ 84.9688	8/ 4 199000@ 78.0000
9/17 1000@ 84.6250	9/ 1 10000@ 84.6406	8/ 3 16000@ 77.0000
9/17 10500@ 85.1875	8/30 1000@ 83.0000	7/29 2500@ 70.3906
9/17 95000@ 84.7656	8/25 1000@ 50.3906	7/27 1000@ 25.0000
9/17 100@ 84.5000	8/24 8000@ 83.7031	7/26 1000@ 72.0000
9/17 6700@ 85.1094	8/20 11300@ 80.1562	7/26 10000@ 65.0000
9/17 19400@ 84.3750	8/19 3500@ 77.3750	7/ 8 2189500@ 64.2656
9/17 1000000@ 90.0000	8/18 300@ 80.0000	7/ 8 10000@ 64.3125
9/16 1000@ 82.8125	8/17 1400@ 77.8125	7/ 7 5000@ 64.4375
9/14 1000@ 85.1250	8/16 13000@ 78.9688	6/29 19500@ 58.3594

\*Live order \*Trade \*Expired order

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I366-303-0 30-Sep-99 8:47:06

FIG. 8



DG21 b Equity B T N A

INTC US \$ Market Q17 5 5 / 7 5 3 10 3x10 Vol 28,200 Prev 75<sup>3</sup><sub>16</sub>

1 <GO> for ticket.

NEGOTIATE TO BUY  
INTC - INTEL CORP

Total shares I bought today 0  
Quantity displayed to others 0

Trading activity All counterparties

Counterparty sell activities

9/29 600@ 75.7969	9/10 1000@ 88.0625	8/12 2000@ 75.9375
9/29 2800@ 77.0000	9/10 1000@ 88.0625	8/ 9 18000@ 73.3750
9/28 700@ 78.0000	9/ 8 5000@ 89.0000	8/ 6 50000@ 72.0000
9/21 100@ 82.1094	9/ 1 64900@ 84.9688	8/ 4 199000@ 78.0000
9/17 1000@ 84.6250	9/ 1 10000@ 84.6406	8/ 3 16000@ 77.0000
9/17 10500@ 85.1875	8/30 1000@ 83.0000	7/29 2500@ 70.3906
9/17 95000@ 84.7656	8/25 1000@ 50.3906	7/27 1000@ 25.0000
9/17 100@ 84.5000	8/24 8000@ 83.7031	7/26 1000@ 72.0000
9/17 6700@ 85.1094	8/20 11300@ 80.1562	7/26 10000@ 65.0000
9/17 19400@ 84.3750	8/19 3500@ 77.3750	7/ 8 2189500@ 64.2656
9/17 1000000@ 90.0000	8/18 300@ 80.0000	7/ 8 10000@ 64.3125
9/16 1000@ 82.8125	8/17 1400@ 77.8125	7/ 7 5000@ 64.4375
9/14 1000@ 85.1250	8/16 13000@ 78.9688	6/29 19500@ 58.3594

\*Live order \*Trade \*Expired order

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1366-303-0 30-Sep-99 8:47:37

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FIG. 9

DG21 b Equity BTNA

1 <GO> for ticket.

**NEGOTIATE TO BUY**

**NEGOTIATE TO BUY INTC**

Total shares:  Quantities:

Contact:  parties:

Bid shares:  Per party:

Price:

Negotiation exposure:

Total exposure:  0 shares:

☐ 9/29 ☐ 9/29 2 ☐ 9/28 ☒ 9/21 ☒ 9/17 1 ☐ 9/17 10 ☐ 9/17 95 ☐ 9/17 ☐ 9/17 67000@ 85.1094 ☐ 9/17 194000@ 84.3750 ☐ 9/17 1000000@ 90.0000 ☐ 9/16 10000@ 82.8125 ☐ 9/14 10000@ 85.1250 ☐ 8/20 113000@ 80.1562 ☐ 8/19 35000@ 77.3750 ☐ 8/18 3000@ 80.0000 ☐ 8/17 14000@ 77.8125 ☐ 8/16 130000@ 78.9688 ☐ 7/26 100000@ 65.0000 ☐ 7/ 8 21895000@ 64.2656 ☐ 7/ 8 100000@ 64.3125 ☐ 7/ 7 50000@ 64.4375 ☐ 6/29 195000@ 58.3594

**<MENU> to return**

\*Live order \*Trade \*Expired order

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 Princeton: 609-279-3000 Singapore: 226-3000 Sydney: 2-9777-8686 Tokyo: 3-3201-8900 Sao Paulo: 11-3048-4500  
 1366-303-0 30-Sep-99 8:47:44



FIG. 10



DG21 b Equity B T N T

Cancel all open negotiations for INTC						Page 1/1
TRADE BOOK NEGOTIATIONS MONITOR						
ACTION	SIDE	SHARES	PRICE	RESERVE		TIME
1) RCVD	OFFER	3000	77			8:50
2) RCVD	OFFER	3000	75			8:49
3) SENT	BID	3000	25	7000	to 7 parties	8:49
Open negotiations:						
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FIG. 12

Cancel all open negotiations for INTC

Page 1/1

TRADEBOOK NEGOTIATIONS MONITOR

ACTION	SIDE	SHARES	PRICE	RESERVE	TIME
1) RCVD	OFFER	3000	77		8:50
2) RCVD	OFFER	3000	75		8:49
3) SENT					8:49

**BUY INTC**

Total exposure: 10000 shares

Shares: 3000

Price: 77

1<GO> to accept 2<GO> to decline <MENU> to return

130

Open negotiations:

**FIG. 13**

DG21 b Equity B T N T

Cancel all open negotiations for INTC						Page 1/1
TRADE BOOK NEGOTIATIONS MONITOR						
ACTION	SIDE	SHARES	PRICE	RESERVE		TIME
1) SENT	BID	3000	77			8:52
2) RCVD EXPIRED	OFFER	3000	77			8:52
3) RCVD EXPIRED	OFFER	3000	75			8:51
4) EXPIRED	BID	10000	25			8:51
5) RCVD	OFFER	3000	77			8:50
6) RCVD	OFFER	3000	75			8:49
7) SENT	BID	3000	25	7000	to 7 parties	8:49
Open negotiations:						

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Princeton:609-279-3000 Singapore:226-3000 Sydney:2-9777-8686 Tokyo:3-3201-8900 Sao Paulo:11-3048-4500  
1366-303-0 30-Sep-99 8:52:56

FIG. 14

Page

DG21 b Equity BTPR

ENTER 1 <GO> to UPDATE <PAGE FWD> for additional settings.

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TRADEBOOK LLC

PROFILE SETTINGS FOR: TONY TANG

TRADEBOOK ID: 68817

頁 2 - : 3

### TRADE SETTINGS

DISCRETION MINIMUM TRIGGER:

SEND OUT ADVERTISEMENTS ON TRADE ?

Y

SEND IOI'S ?

Y

### MONITOR SETTINGS

BTC/BTLM TICKER DISPLAY ?

I

BTC/BTLM TICKER LIST NAME:

BTC/BTLM SCROLL LINES:

5(1-15)

OPEN BOOK WHEN TRADE ?

OFF-MONITOR NOTIFICATION ?

SINGLE SECURITY MONITOR TYPE:

DISPLAY PRICE AS DECIMAL ON BTMQ ?

DISPLAY OPEN ORDERS FIRST ON BTBL ?

BTMQ/BTP CLICK DEFAULT

N  
A  
O  
O  
N  
C

### TRADING DESK SETTINGS

ALLOW B-TRADE SRVS VIEW BLOTTER ?

Y

ENTER/CANCEL ORDERS ON YOUR BEHALF ?

Y

Please note: Changes to defaults do not update open orders

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1550-579-0 29-Sep-99 13:47:30

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FIG. 15

1  
ENTER 1 <GO> to UPDATE <PAGE FWD> for additional settings.

DG21 b Equity BTPR

**Bloomberg**  
TRADEBOOK LLC

PROFILE SETTINGS FOR: TONY TANG  
TRADEBOOK ID: 68817

Pg 2 of 3

### TRADE SETTINGS

DISCRETION MINIMUM TRIGGER:  
SEND OUT ADVERTISEMENTS ON TRADE ?

☒ Y SEND IOI'S ? ☒ Y

### MONITOR

BTC/BTLM TICKER DISPLAY ?  
BTC/BTLM TICKER LIST NAME:  
BTC/BTLM SCROLL LINES:  
OPEN BOOK WHEN TRADE ?  
OFF-MONITOR NOTIFICATION ?  
SINGLE SECURITY MONITOR TYPE:  
DISPLAY PRICE AS DECIMAL ON BTMQ ?  
DISPLAY OPEN ORDERS FIRST ON BTBL ?  
BTMQ/BTP CLICK DEFAULT

Send out an IOI for each of your orders.  
Y - Yes  
N - No

NAOYNC

### TRADING DESK SETTINGS

ALLOW B-TRADE SRVS VIEW BLOTTER ? ☒ Y  
ENTER/CANCEL ORDERS ON YOUR BEHALF ? ☒ Y

Please note: Changes to defaults do not update open orders

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1550-579-0 29-Sep-99 13:48:46

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FIG. 16

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66500T 3042460

Equity BTP

At 14:00 Vol 1,060,700 Op 68<sup>1</sup>/<sub>8</sub> Q Hi 69<sup>1</sup>/<sub>8</sub> Q Lo 66<sup>5</sup>/<sub>8</sub> Q ValTrd 72120872

14:00

QR BMCS  
MQ

DLJP ARCA	20	68 <sup>3</sup> / <sub>8</sub>	↑	68 <sup>1</sup> / <sub>2</sub>	24	MLCO FBCO WARR MASH BRUT
GSCO	10	68 <sup>1</sup> / <sub>4</sub>		68 <sup>1</sup> / <sub>2</sub>	2	NITE SLKC

NEGOTIATE TO SELL

NEGOTIATE TO BUY

AQR VWAP:

TSM Bid:

Ask:

RV 5-Day Avg Vol:

Total	Wtd Avg	Best Bids	TRADEBOOK	Best Offers	Wtd Avg	Total
4000	68.094	1000	68 <sup>3</sup> / <sub>8</sub>	68 <sup>1</sup> / <sub>2</sub>	1000	
		1000	68 <sup>3</sup> / <sub>8</sub>	68 <sup>1</sup> / <sub>2</sub>	1000	
14:10 R: 297000r		3000	68			

← 134

Tradebook

ICN BN 9/13 U.S. Equity Movers: Leap Wireless, Motorola, TheStreet.com

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Princeton: 609-279-3000 Singapore: 226-3000 Sydney: 2-9777-8686 Tokyo: 3-3201-8900 Sao Paulo: 11-3048-4500  
1550-579-0 29-Sep-99 13:59:39

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FIG. 17

BTRN

N022 b Equity BTRN

## TRADEBOOK DAILY AUDIT TRAIL PAGE 1 OF 4

USER NAME: TONY TANG

TRANSACTION DATE: 9/29/1999

TESTA	Order flagged for NASDAQ quote -- 4000 shares	14:06:49
TESTA	Order flagged for Indications of Interest	14:06:49
TESTA	Order+ expires at 16:00:00	14:06:49
TESTA	Offer 4000 at 67.500 ; R 26000	14:06:49
TESTA	Immediate or cancel order: 1000 filled, 299000 canceled	14:06:19
TESTA	S You SOLD (R) 1000 at 67.250	14:06:19
TESTA	Offer* 1000 at 67.250 ; R 299000	14:06:19
TESTA	Immediate or cancel order: 29400 filled, 270600 canceled	14:06:14
TESTA	B You BOUGHT(R) 29400 at 67.500	14:06:14
TESTA	Bid* 1000 at 67.500 ; R 299000	14:06:14
TESTA	Immediate or cancel order: 900 filled, 299100 canceled	14:06:10
TESTA	S You SOLD (R) 900 at 67.3125	14:06:10
TESTA	Offer* 900 at 67.3125 ; R 299100	14:06:10
TESTA	Immediate or cancel order: 114000 filled, 186000 canceled	14:06:07
TESTA	S You SOLD (R) 114000 at 67.375	14:06:07
TESTA	Offer* 1600 at 67.375 ; R 298400	14:06:07
TESTA	B You BOUGHT(R) 30000 at 67.500	14:06:02
TESTA	Bid* 1000 at 67.500 ; R 29000	14:06:02
TESTA	B You BOUGHT(R) 30000 at 67.500	14:05:59
TESTA	Bid* 1400 at 67.500 ; R 28600	14:05:59

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 Princeton: 609-279-3000 Singapore: 226-3000 Sydney: 2-9777-8686 Tokyo: 3-3201-8900 Sao Paulo: 11-3048-4500  
 1550-579-0 29-Sep-99 14:06:25

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FIG. 18

Backpage

DG61 a Equity IIA

66507-8042160

Indications & Advertisements: All indications and Advertisements Page 7 / 13								
Side	AMT	Symbol	Price	Broker	Time	Trader	Cur	
1) BUY	S	TESTA	US	67 $\frac{3}{8}$	BTRD US	12:44	BTRD USD	
B-Trd Services 888-873-8873								
2) SELL	S	TESTA	US	67 $\frac{1}{2}$	BTRD US	12:33	BTRD USD	←
B-Trd Services 888-873-8873								
3) BUY	M	STEI	US	53 $\frac{3}{8}$	BTRD US	12:26	BTRD USD	138
B-Trd Services 888-873-8873								
4) SELL	M	SPNX	US	13 $\frac{1}{8}$	BTRD US	11:59	BTRD USD	
B-Trd Services 888-873-8873								
5) BUY	M	WCII	US	40 $\frac{1}{4}$	BTRD US	11:45	BTRD USD	
B-Trd Services 888-873-8873								
6) BUY	M	WCII	US	40 $\frac{3}{8}$	BTRD US	11:42	BTRD USD	
B-Trd Services 888-873-8873								
7) BUY	S	TESTA	US	67 $\frac{1}{4}$	BTRD US	11:26	BTRD USD	
B-Trd Services 888-873-8873								
8) SELL	S	YESM	US	11 $\frac{1}{8}$	BTRD US	11:25	BTRD USD	
B-Trd Services 888-873-8873								
9) BUY	L	TESTA	US	67	BTRD US	11:12	BTRD USD	
B-Trd Services 888-873-8873								
10) BUY	S	TESTA	US	67 $\frac{1}{8}$	BTRD US	11:03r	BTRD USD	
B-Trd Services 888-873-8873								
11) TRD	40.000	AERL	US	26 $\frac{3}{4}$	BTRD US	11:01	BTRD USD	

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 1550-579-0 29-Sep-99 14:07:01



FIG. 19